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JC943 U.S. PTO

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|---|---|
| <p><b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br/><small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small></p> | Attorney Docket No. 38866/204614  |
|   | First Inventor or Application Identifier: May   |
|   | Title of Invention: SYSTEMS AND METHODS FOR<br>PERFORMING TWO-WAY ONE-TO-MANY AND MANY-TO-<br>MANY AUCTIONS FOR FINANCIAL INSTRUMENTS |
|   | Express Mail Label No. EL149284549US  |

10-05-00  
JC943 U.S. PTO

ADDRESS TO: **ASSISTANT COMMISSIONER FOR PATENTS  
BOX PATENT APPLICATION  
WASHINGTON, DC 20231**

Transmitted herewith for filing in the United States Patent Office is a patent application for:

Inventors: R. Raymond May

1.  The Filing Fee has been calculated as shown below:

| No. Filed   | No. Extra          | Small Entity<br>Rate | Large Entity<br>Rate | Fee 1             | Fee 0      |
|---|--------------------|----------------------|----------------------|-------------------|------------|
| <b>BASIC FEE</b>  |                    |                      |                      | <b>\$355</b>      | <b>\$0</b> |
| <b>TOTAL CLAIMS:</b>  | <b>11 - 20 = 0</b> | <b>X 9 = \$0</b>     |                      | <b>x 18 = \$0</b> |            |
| <b>INDEP CLAIMS:</b>  | <b>2 - 3 = 0</b>   | <b>X 40 = \$0</b>    |                      | <b>x 78 = \$0</b> |            |
| <input type="checkbox"/> <b>MULTIPLE DEPENDENT CLAIMS<br/>PRESENTED</b>             |                    | <b>+130 = \$</b>     |                      | <b>+260 = \$</b>  |            |
| <b>*If the difference in Column 1 is less than zero,<br/>enter "0" in Column 2.</b> |                    | <b>TOTAL \$ 355</b>  |                      | <b>TOTAL \$</b>   |            |

The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit Account No. 16-0605.

a.  Fees required under 37 CFR 1.16 (National filing fees).  
 b.  Fees required under 37 CFR 1.17 (National application processing fees).  
 A check in the amount of \$ 355.00 for the filing fee is enclosed.

The above filing fee will be paid along with Applicant(s) Response to the Notice to File Missing Parts.

2.  Specification; Total Pages 90

3.  33 Sheets of Formal Drawing(s) (35 USC 113)

4.  Declaration and Power of Attorney; *[Total Pages 3.]*  
a.  Newly executed (original or copy)  
b.  Copy from a prior application (37 CFR 1.63(d))  
*(for continuation/divisional with Box 16 completed)*  
i.  DELETION OF INVENTOR(S) Signed statement  
attached deleting inventor(s) named in the prior  
application, see 37 CFR 1.63(d)(2) & 1.33(b).

5.  Microfiche Computer Program (Appendix)

6.  Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)  
a.  Computer Readable Copy  
b.  Paper Copy (identical to computer copy)  
c.  Statement verifying identity of above copies

#### ACCOMPANYING APPLICATION PARTS

7.  Assignment Papers (cover sheet & document(s) (including a check for  
the \$40.00 fee)

8.  37 CFR 3.73(b) Statement *(when there is an assignee)*;  Power of Attorney

9.  English Translation Document *(if applicable)*

10.  Information Disclosure Statement (IDS)/PTO-1449; 39 Copies of IDS Citations

11.  Preliminary Amendment

12.  Return Receipt Postcard (MPEP 503) *(Should be specifically itemized)*

13.  Small Entity Statement(s)  
 Statement filed in prior application; status still proper and desired.

14.  Certified Copy of Priority Document(s) *(if foreign priority is claimed)*  
Foreign Priority is \_\_\_\_\_

15.  Other: \_\_\_\_\_

16. **If a CONTINUING APPLICATION, check appropriate box and supply the requisite  
information below and in a preliminary amendment:**

Continuation  Divisional  Continuation in Part (CIP)  
of prior Application No: 09/169,879; filed October 12, 1998

Prior Application Information: Examiner J. Romain Group/Art Unit: 2765

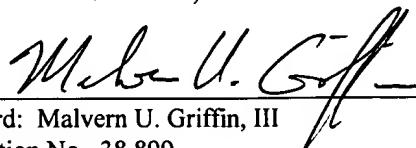
For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration  
is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is  
hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the  
submitted application parts.

17. CORRESPONDENCE ADDRESS

Customer Number or Bar Code Label **000826**

Attention Of: Malvern U. Griffin, III

Signature:



Attorney/Agent of Record: Malvern U. Griffin, III

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**ALSTON & BIRD LLP**

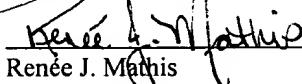
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Date of Deposit: October 5, 2000

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Box: PATENT APPLICATION, Assistant Commissioner For Patents, Washington, D.C. 20231.



Renée J. Mathis

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(Utility Patent Application Transmittal) Page 3 of 3